



General Assembly

January Session, 2007

***Raised Bill No. 7002***

LCO No. 3612

\*03612\_\_\_\_\_GAE\*

Referred to Committee on Government Administration and Elections

Introduced by:  
(GAE)

***AN ACT CONCERNING ETHICS.***

Be it enacted by the Senate and House of Representatives in General Assembly convened:

1 Section 1. Subsection (f) of section 1-79 of the general statutes is  
2 repealed and the following is substituted in lieu thereof (*Effective from*  
3 *passage*):

4 (f) "Immediate family" means [any] spouse, children or dependent  
5 relatives, [who reside in the individual's household.]

6 Sec. 2. Subsection (a) of section 1-81 of the general statutes is  
7 repealed and the following is substituted in lieu thereof (*Effective from*  
8 *passage*):

9 (a) The board and general counsel and staff of the Office of State  
10 Ethics shall:

11 (1) Compile and maintain an index of all reports, advisory opinions,  
12 informal staff letters, memoranda issued in accordance with subsection  
13 (b) of section 1-82, as amended by this act, and statements filed by and  
14 with the Office of State Ethics to facilitate public access to such reports

15 and advisory opinions, informal staff letters, memoranda statements as  
16 provided by this part;

17 (2) Preserve advisory opinions and informal staff letters,  
18 permanently; preserve memoranda issued in accordance with  
19 subsection (b) of section 1-82, as amended by this act, and statements  
20 and reports filed by and with the board for a period of five years from  
21 the date of receipt;

22 (3) Upon the concurring vote of a majority of the board present and  
23 voting, issue advisory opinions with regard to the requirements of this  
24 [part] chapter, upon the request of any person subject to the provisions  
25 of this [part] chapter, and publish such advisory opinions in the  
26 Connecticut Law Journal. Advisory opinions rendered by the board,  
27 until amended or revoked, shall be binding on the board and shall be  
28 deemed to be final decisions of the board for purposes of appeal to the  
29 superior court, in accordance with the provisions of section 4-175 or 4-  
30 183. Any advisory opinion concerning the person who requested the  
31 opinion and who acted in reliance thereon, in good faith, shall be  
32 binding upon the board, and it shall be an absolute defense in any  
33 criminal action brought under the provisions of this part, that the  
34 accused acted in reliance upon such advisory opinion;

35 (4) Respond to inquiries and provide advice regarding the code of  
36 ethics either verbally or through informal letters;

37 (5) Provide yearly training to all state employees regarding the code  
38 of ethics;

39 (6) Make legislative recommendations to the General Assembly and  
40 report annually, prior to April fifteenth, to the Governor summarizing  
41 the activities of the [commission] Office of State Ethics;

42 (7) Meet not less than once per month with the office's executive  
43 director and ethics enforcement officer; and

44 (8) The [commission] Office of State Ethics may enter into such

45 contractual agreements as may be necessary for the discharge of its  
46 duties, within the limits of its appropriated funds and in accordance  
47 with established procedures.

48 Sec. 3. Section 1-82 of the general statutes is repealed and the  
49 following is substituted in lieu thereof (*Effective from passage*):

50 (a) (1) Upon [the complaint of any person on a form prescribed by  
51 the board, signed under penalty of false statement, or upon] its own  
52 complaint, the ethics enforcement officer of the Office of State Ethics  
53 shall investigate any alleged violation of this part or section 1-101nn.  
54 Not later than five days after the receipt or issuance of such complaint,  
55 the board shall provide notice of such receipt or issuance and a copy of  
56 the complaint by registered or certified mail to any respondent against  
57 whom such complaint is filed. [and shall provide notice of the receipt  
58 of such complaint to the complainant. When the ethics enforcement  
59 officer of the Office of State Ethics undertakes an evaluation of a  
60 possible violation of this part or section 1-101nn prior to the filing of a  
61 complaint, the subject of the evaluation shall be notified not later than  
62 five business days after an Office of State Ethics staff member's first  
63 contact with a third party concerning the matter.]

64 (2) In the conduct of its investigation of an alleged violation of this  
65 part or section 1-101nn, the Office of State Ethics shall have the power  
66 to hold hearings, administer oaths, examine witnesses, receive oral and  
67 documentary evidence, subpoena witnesses under procedural rules  
68 adopted by the Citizen's Ethics Advisory Board as regulations in  
69 accordance with the provisions of chapter 54 to compel attendance  
70 before the Office of State Ethics and to require the production for  
71 examination by the ethics enforcement officer of the Office of State  
72 Ethics of any books and papers which the Office of State Ethics deems  
73 relevant in any matter under investigation or in question. In the  
74 exercise of such powers, the Office of State Ethics may use the services  
75 of the state police, who shall provide the same upon the office's  
76 request. The Office of State Ethics shall make a record of all

77 proceedings conducted pursuant to this subsection. The ethics  
78 enforcement officer of the Office of State Ethics may bring any alleged  
79 violation of this part before a judge trial referee assigned by the Chief  
80 Court Administrator for such purpose for a probable cause hearing.  
81 Such judge trial referee shall be compensated in accordance with the  
82 provisions of section 52-434 from such funds as may be available to the  
83 Office of State Ethics. Any witness summoned before the Office of  
84 State Ethics or a judge trial referee pursuant to this subsection shall  
85 receive the witness fee paid to witnesses in the courts of this state.  
86 During any investigation conducted pursuant to this subsection or any  
87 probable cause hearing conducted pursuant to this subsection, the  
88 respondent shall have the right to appear and be heard and to offer  
89 any information which may tend to clear the respondent of probable  
90 cause to believe the respondent has violated any provision of this part  
91 or section 1-101nn. The respondent shall also have the right to be  
92 represented by legal counsel and to examine and cross-examine  
93 witnesses. Not later than ten days prior to the commencement of any  
94 hearing conducted pursuant to this subsection, the Office of State  
95 Ethics shall provide the respondent with a list of its intended  
96 witnesses. Any finding of probable cause to believe the respondent is  
97 in violation of any provisions of this part shall be made by a judge trial  
98 referee not later than thirty days after the ethics enforcement officer  
99 brings such alleged violation before such judge trial referee, except that  
100 such thirty-day limitation period shall not apply if the judge trial  
101 referee determines that good cause exists for extending such limitation  
102 period.

103 (b) If a judge trial referee determines that probable cause exists for  
104 the violation of a provision of this part or section 1-101nn, the board  
105 shall initiate hearings to determine whether there has been a violation  
106 of this part or section 1-101nn. Any such hearing shall be initiated by  
107 the board not later than thirty days after the finding of probable cause  
108 by a judge trial referee and shall be concluded not later than ninety  
109 days after its initiation, except that such thirty or ninety-day limitation  
110 period shall not apply if the judge trial referee determines that good

111 cause exists for extending such limitation period. A judge trial referee,  
112 who has not taken part in the probable cause determination on the  
113 matter shall be assigned by the Chief Court Administrator and shall be  
114 compensated in accordance with section 52-434 out of funds available  
115 to the Office of State Ethics and shall preside over such hearing and  
116 rule on all issues concerning the application of the rules of evidence,  
117 which shall be the same as in judicial proceedings. The trial referee  
118 shall have no vote in any decision of the board. All hearings of the  
119 board held pursuant to this subsection shall be open. At such hearing  
120 the board shall have the same powers as the Office of State Ethics  
121 under subsection (a) of this section and the respondent shall have the  
122 right to be represented by legal counsel, the right to compel attendance  
123 of witnesses and the production of books, documents, records and  
124 papers and to examine and cross-examine witnesses. Not later than ten  
125 days prior to the commencement of any hearing conducted pursuant  
126 to this subsection, the Office of State Ethics shall provide the  
127 respondent with a list of its intended witnesses. The judge trial referee  
128 shall, while engaged in the discharge of the duties as provided in this  
129 subsection, have the same authority as is provided in section 51-35  
130 over witnesses who refuse to obey a subpoena or to testify with respect  
131 to any matter upon which such witness may be lawfully interrogated,  
132 and may commit any such witness for contempt for a period no longer  
133 than thirty days. The Office of State Ethics shall make a record of all  
134 proceedings pursuant to this subsection. The board shall find no  
135 person in violation of any provision of this part or section 1-101nn  
136 except upon the concurring vote of [six] three of its members present  
137 and voting. Not later than fifteen days after the public hearing  
138 conducted in accordance with this subsection, the board shall publish  
139 its finding and a memorandum of the reasons therefor. Such finding  
140 and memorandum shall be deemed to be the final decision of the  
141 board on the matter for the purposes of chapter 54. The respondent, if  
142 aggrieved by the finding and memorandum, may appeal therefrom to  
143 the Superior Court in accordance with the provisions of section 4-183.

144 [(c) If a judge trial referee finds, after a hearing pursuant to this

145 section, that there is no probable cause to believe that a public official  
146 or state employee has violated a provision of this part or section 1-  
147 101nn, or if the board determines that a public official or state  
148 employee has not violated any such provision, or if a court of  
149 competent jurisdiction overturns a finding by the board of a violation  
150 by such a respondent, the state shall pay the reasonable legal expenses  
151 of the respondent as determined by the Attorney General or by the  
152 court if appropriate. If any complaint brought under the provisions of  
153 this part or section 1-101nn is made with the knowledge that it is made  
154 without foundation in fact, the respondent shall have a cause of action  
155 against the complainant for double the amount of damage caused  
156 thereby and if the respondent prevails in such action, he may be  
157 awarded by the court the costs of such action together with reasonable  
158 attorneys' fees.]

159 [(d)] (c) No complaint may be made under this section later than  
160 five years after the violation alleged in the complaint has been  
161 committed.

162 [(e)] (d) No person shall take or threaten to take official action  
163 against an individual for such individual's disclosure of information to  
164 the board or the general counsel, ethics enforcement officer or staff of  
165 the Office of State Ethics under the provisions of this part or section 1-  
166 101nn. After receipt of information from an individual under the  
167 provisions of this part or section 1-101nn, the Office of State Ethics  
168 shall not disclose the identity of such individual without such  
169 individual's consent unless the Office of State Ethics determines that  
170 such disclosure is unavoidable during the course of an investigation.  
171 No person shall be subject to civil liability for any good faith disclosure  
172 that such person makes to the [commission] board, general counsel,  
173 ethics enforcement officer or staff of the Office of State Ethics under the  
174 provisions of this part or section 1-101nn.

175 Sec. 4. Subsections (b) and (c) of section 1-83 of the general statutes  
176 are repealed and the following is substituted in lieu thereof (*Effective*

177 *from passage):*

178 (b) (1) The statement of financial interests, except as provided in  
 179 subdivision (2) of this subsection, shall include the following  
 180 information for the preceding calendar year in regard to the individual  
 181 required to file the statement and the individual's spouse and  
 182 dependent children; [residing in the individual's household:] (A) The  
 183 names of all businesses with which associated; (B) [the category or  
 184 type of] all sources of income, with a description of each source, in  
 185 excess of one thousand dollars, without specifying amounts of income;  
 186 (C) the name of securities in excess of five thousand dollars at fair  
 187 market value owned by such individual, spouse or dependent children  
 188 or held in the name of a corporation, partnership or trust for the  
 189 benefit of such individual, spouse or dependent children; (D) the  
 190 existence of any known blind trust and the names of the trustees; (E)  
 191 all real property and its location, whether owned by such individual,  
 192 spouse or dependent children or held in the name of a corporation,  
 193 partnership or trust for the benefit of such individual, spouse or  
 194 dependent children; (F) the names and addresses of creditors to whom  
 195 the individual, the individual's spouse or dependent children,  
 196 individually, owed debts of more than ten thousand dollars; (G) any  
 197 leases or contracts with the state held or entered into by the individual  
 198 or a business with which he or she was associated; and (H) a  
 199 description of any partnership, joint ownership or similar business  
 200 affiliation between (i) a business included under subparagraph (A) of  
 201 this subdivision with which the individual filing the statement, the  
 202 individual's spouse or a dependent child of the individual is  
 203 associated, and (ii) a lobbyist, a person that the individual filing the  
 204 statement knows or has reason to know is doing business with or  
 205 seeking to do business with the state or is engaged in activities that are  
 206 directly regulated by the department or agency in which the individual  
 207 is employed, or a business with which such lobbyist or person is  
 208 associated.

209 (2) The statement of financial interests filed by state marshals shall

210 include only amounts and sources of income earned in their capacity  
211 as state marshals.

212 (c) The statement of financial interests filed pursuant to this section  
213 shall be a matter of public information, [ except the list of names, filed  
214 in accordance with subparagraph (F) of subdivision (1) of subsection  
215 (b) of this section shall be sealed and confidential and for the use of the  
216 Office of State Ethics only after a complaint has been filed under  
217 section 1-82 and such complaint has been determined by a vote of the  
218 board to be of sufficient merit and gravity to justify the unsealing of  
219 such list or lists and not open to public inspection unless the  
220 respondent requests otherwise. If the board reports its findings to the  
221 Chief State's Attorney in accordance with subsection (c) of section 1-88,  
222 the board shall turn over to the Chief State's Attorney such relevant  
223 information contained in the statement as may be germane to the  
224 specific violation or violations or a prosecutorial official may subpoena  
225 such statement in a criminal action. Unless otherwise a matter of  
226 public record, the Office of State Ethics shall not disclose to the public  
227 any such subpoena which would be exempt from disclosure by the  
228 issuing agency.]

229 Sec. 5. Section 1-84 of the general statutes is repealed and the  
230 following is substituted in lieu thereof (*Effective from passage*):

231 (a) No public official or state employee shall, while serving as such,  
232 have any financial interest in, or engage in, any business, employment,  
233 transaction or professional activity, which is in substantial conflict with  
234 the proper discharge of his duties or employment in the public interest  
235 and of his responsibilities as prescribed in the laws of this state, as  
236 defined in section 1-85, as amended by this act.

237 (b) No public official or state employee shall accept other  
238 employment which will either impair his independence of judgment as  
239 to his official duties or employment or require him, or induce him, to  
240 disclose confidential information acquired by him in the course of and  
241 by reason of his official duties.



242 (c) No public official or state employee shall wilfully and knowingly  
243 disclose, for financial gain, to any other person, confidential  
244 information acquired by him in the course of and by reason of his  
245 official duties or employment and no public official or state employee  
246 shall use his public office or position or any confidential information  
247 received through his holding such public office or position to obtain  
248 financial gain for himself, his spouse, child, child's spouse, parent,  
249 brother or sister, or other employer or a business with which he is  
250 associated.

251 (d) No public official or state employee or employee of such public  
252 official or state employee shall agree to accept, or be a member or  
253 employee of a partnership, association, professional corporation or  
254 sole proprietorship which partnership, association, professional  
255 corporation or sole proprietorship agrees to accept any employment,  
256 fee or other thing of value, or portion thereof, for appearing, agreeing  
257 to appear, or taking any other action on behalf of another person  
258 before the Department of Banking, the Claims Commissioner, the  
259 Office of Health Care Access, the Insurance Department, the office  
260 within the Department of Consumer Protection that carries out the  
261 duties and responsibilities of sections 30-2 to 30-68m, inclusive, the  
262 Department of Motor Vehicles, the State Insurance and Risk  
263 Management Board, the Department of Environmental Protection, the  
264 Department of Public Utility Control, the Connecticut Siting Council,  
265 the Division of Special Revenue within the Department of Revenue  
266 Services, the Gaming Policy Board within the Department of Revenue  
267 Services or the Connecticut Real Estate Commission; provided this  
268 shall not prohibit any such person from making inquiry for  
269 information on behalf of another before any of said commissions or  
270 commissioners if no fee or reward is given or promised in consequence  
271 thereof. For the purpose of this subsection, partnerships, associations,  
272 professional corporations or sole proprietorships refer only to such  
273 partnerships, associations, professional corporations or sole  
274 proprietorships which have been formed to carry on the business or  
275 profession directly relating to the employment, appearing, agreeing to

276 appear or taking of action provided for in this subsection. Nothing in  
277 this subsection shall prohibit any employment, appearing, agreeing to  
278 appear or taking action before any municipal board, commission or  
279 council. Nothing in this subsection shall be construed as applying (1)  
280 to the actions of any teaching or research professional employee of a  
281 public institution of higher education if such actions are not in  
282 violation of any other provision of this chapter, (2) to the actions of any  
283 other professional employee of a public institution of higher education  
284 if such actions are not compensated and are not in violation of any  
285 other provision of this chapter, (3) to any member of a board or  
286 commission who receives no compensation other than per diem  
287 payments or reimbursement for actual or necessary expenses, or both,  
288 incurred in the performance of the member's duties, or (4) to any  
289 member or director of a quasi-public agency. Notwithstanding the  
290 provisions of this subsection to the contrary, a legislator, an officer of  
291 the General Assembly or part-time legislative employee may be or  
292 become a member or employee of a firm, partnership, association or  
293 professional corporation which represents clients for compensation  
294 before agencies listed in this subsection, provided the legislator, officer  
295 of the General Assembly or part-time legislative employee shall take  
296 no part in any matter involving the agency listed in this subsection and  
297 shall not receive compensation from any such matter. Receipt of a  
298 previously established salary, not based on the current or anticipated  
299 business of the firm, partnership, association or professional  
300 corporation involving the agencies listed in this subsection, shall be  
301 permitted.

302 (e) No legislative commissioner or his partners, employees or  
303 associates shall represent any person subject to the provisions of part II  
304 concerning the promotion of or opposition to legislation before the  
305 General Assembly, or accept any employment which includes an  
306 agreement or understanding to influence, or which is inconsistent  
307 with, the performance of his official duties.

308 (f) No person shall offer or give to a public official or state employee

309 or candidate for public office or his spouse, his parent, brother, sister  
310 or child or spouse of such child or a business with which he is  
311 associated, anything of value, including but not limited to, a gift, loan,  
312 political contribution, reward or promise of future employment based  
313 on any understanding that the vote, official action or judgment of the  
314 public official, state employee or candidate for public office would be  
315 or had been influenced thereby.

316 (g) No public official or state employee or candidate for public office  
317 shall solicit or accept anything of value, including but not limited to, a  
318 gift, loan, political contribution, reward or promise of future  
319 employment based on any understanding that the vote, official action  
320 or judgment of the public official or state employee or candidate for  
321 public office would be or had been influenced thereby.

322 (h) Nothing in subsection (f) or (g) of this section shall be construed  
323 (1) to apply to any promise made in violation of subdivision (6) of  
324 section 9-622, or (2) to permit any activity otherwise prohibited in  
325 section 53a-147 or 53a-148.

326 (i) No public official or state employee or member of the official or  
327 employee's immediate family or a business with which he is associated  
328 shall enter into any contract with the state, valued at one hundred  
329 dollars or more, other than a contract of employment as a state  
330 employee or pursuant to a court appointment, unless the contract has  
331 been awarded through an open and public process, including prior  
332 public offer and subsequent public disclosure of all proposals  
333 considered and the contract awarded. In no event shall an executive  
334 head of an agency, as defined in section 4-166, including a  
335 commissioner of a department, or an executive head of a quasi-public  
336 agency, as defined in section 1-79, as amended by this act, or the  
337 executive head's immediate family or a business with which he is  
338 associated enter into any contract with that agency or quasi-public  
339 agency. Nothing in this subsection shall be construed as applying to  
340 any public official who is appointed as a member of the executive

341 branch or as a member or director of a quasi-public agency and who  
342 receives no compensation other than per diem payments or  
343 reimbursement for actual or necessary expenses, or both, incurred in  
344 the performance of the public official's duties unless such public  
345 official has authority or control over the subject matter of the contract.  
346 Any contract made in violation of this subsection shall be voidable by  
347 a court of competent jurisdiction if the suit is commenced not later  
348 than one hundred eighty days after the making of the contract.

349 (j) No public official, state employee or candidate for public office,  
350 or a member of any such person's staff or immediate family shall  
351 knowingly accept any gift, as defined in subsection (e) of section 1-79,  
352 from a person known to be a registrant or anyone known to be acting  
353 on behalf of a registrant.

354 (k) No public official, spouse of the Governor or state employee  
355 shall accept a fee or honorarium for an article, appearance or speech, or  
356 for participation at an event, in the public official's, spouse's or state  
357 employee's official capacity, provided a public official, Governor's  
358 spouse or state employee may receive payment or reimbursement for  
359 necessary expenses for any such activity in his or her official capacity.  
360 If a public official, Governor's spouse or state employee receives such a  
361 payment or reimbursement for lodging or out-of-state travel, or both,  
362 the public official, Governor's spouse or state employee shall, not later  
363 than thirty days thereafter, file a report of the payment or  
364 reimbursement with the Office of State Ethics, unless the payment or  
365 reimbursement is provided by the federal government or another state  
366 government. If a public official, Governor's spouse or state employee  
367 does not file such report within such period, either intentionally or due  
368 to gross negligence on the public official's, Governor's spouse's or state  
369 employee's part, the public official, Governor's spouse or state  
370 employee shall return the payment or reimbursement. If any failure to  
371 file such report is not intentional or due to gross negligence on the part  
372 of the public official, Governor's spouse or state employee, the public  
373 official, Governor's spouse or state employee shall not be subject to any

374 penalty under this chapter. When a public official, Governor's spouse  
375 or state employee attends an event in this state in the public official's,  
376 Governor's spouse's or state employee's official capacity and as a  
377 principal speaker at such event and receives admission to or food or  
378 beverage at such event from the sponsor of the event, such admission  
379 or food or beverage shall not be considered a gift and no report shall  
380 be required from such public official, spouse or state employee or from  
381 the sponsor of the event.

382 (l) No public official or state employee, or any person acting on  
383 behalf of a public official or state employee, shall wilfully and  
384 knowingly interfere with, influence, direct or solicit existing or new  
385 lobbying contracts, agreements or business relationships for or on  
386 behalf of any person.

387 (m) No public official or state employee shall knowingly accept,  
388 directly or indirectly, any gift, as defined in subsection (e) of section 1-  
389 79, from any person the public official or state employee knows or has  
390 reason to know: (1) Is doing business with or seeking to do business  
391 with the department or agency in which the public official or state  
392 employee is employed; (2) is engaged in activities which are directly  
393 regulated by such department or agency; or (3) is prequalified under  
394 section 4a-100. No person shall knowingly give, directly or indirectly,  
395 any gift or gifts in violation of this provision. For the purposes of this  
396 subsection, the exclusion to the term "gift" in subdivision (12) of  
397 subsection (e) of section 1-79 for a gift for the celebration of a major life  
398 event shall not apply. Any person prohibited from making a gift under  
399 this subsection shall report to the Office of State Ethics any solicitation  
400 of a gift from such person by a state employee or public official.

401 (n) (1) As used in this subsection, (A) "investment services" means  
402 investment legal services, investment banking services, investment  
403 advisory services, underwriting services, financial advisory services or  
404 brokerage firm services, and (B) "principal of an investment services  
405 firm" means (i) an individual who is a director of or has an ownership

406 interest in an investment services firm, except for an individual who  
407 owns less than five per cent of the shares of an investment services  
408 firm which is a publicly traded corporation, (ii) an individual who is  
409 employed by an investment services firm as president, treasurer, or  
410 executive or senior vice president, (iii) an employee of such an  
411 investment services firm who has managerial or discretionary  
412 responsibilities with respect to any investment services, (iv) the spouse  
413 or dependent child of an individual described in this subparagraph, or  
414 (v) a political committee established by or on behalf of an individual  
415 described in this subparagraph.

416 (2) The State Treasurer shall not pay any compensation, expenses or  
417 fees or issue any contract to any firm which provides investment  
418 services when (A) a political committee, as defined in section 9-601,  
419 established by such firm, or (B) a principal of the investment services  
420 firm has made a contribution, as defined in section 9-601a, to, or  
421 solicited contributions on behalf of, any exploratory committee or  
422 candidate committee, as defined in section 9-601, established by the  
423 State Treasurer as a candidate for nomination or election to the office  
424 of State Treasurer. The State Treasurer shall not pay any compensation,  
425 expenses or fees or issue any contract to such firms or principals  
426 during the term of office as State Treasurer, including, for an  
427 incumbent State Treasurer seeking reelection, any remainder of the  
428 current term of office.

429 (o) If (1) any person (A) is doing business with or seeking to do  
430 business with the department or agency in which a public official or  
431 state employee is employed, or (B) is engaged in activities which are  
432 directly regulated by such department or agency, and (2) such person  
433 or a representative of such person gives to such public official or state  
434 employee anything of value which is subject to the reporting  
435 requirements pursuant to subsection (e) of section 1-96, such person or  
436 representative shall, not later than ten days thereafter, give such  
437 recipient and the executive head of the recipient's department or  
438 agency a written report stating the name of the donor, a description of

439 the item or items given, the value of such items and the cumulative  
440 value of all items given to such recipient during that calendar year.  
441 The provisions of this subsection shall not apply to a political  
442 contribution otherwise reported as required by law.

443 (p) (1) No public official or state employee or member of the  
444 immediate family of a public official or state employee shall knowingly  
445 accept, directly or indirectly, any gift costing one hundred dollars or  
446 more from a public official or state employee who is under the  
447 supervision of such public official or state employee.

448 (2) No public official or state employee or member of the immediate  
449 family of a public official or state employee shall knowingly accept,  
450 directly or indirectly, any gift costing one hundred dollars or more  
451 from a public official or state employee who is a supervisor of such  
452 public official or state employee.

453 (3) No public official or state employee shall knowingly give,  
454 directly or indirectly, any gift in violation of subdivision (1) or (2) of  
455 this subsection.

456 (q) No public official or state employee shall knowingly accept,  
457 directly or indirectly, any goods or services provided to the state under  
458 subdivision (5) of subsection (e) of section 1-79 by a person prohibited  
459 from making gifts to public officials and state employees under this  
460 section or section 1-97.

461 (r) No legislator or member of such legislator's staff may accept,  
462 directly or indirectly, any goods or services provided to the state under  
463 subdivision (5) of subsection (e) of section 1-79 by a person known to  
464 be a registrant or anyone known to be acting on behalf of a registrant.

465 ~~[(r)]~~ (s) No public official or state employee shall counsel, authorize  
466 or otherwise sanction action that violates any provision of this part.

467 Sec. 6. Subsection (f) of section 1-84b of the general statutes is  
468 repealed and the following is substituted in lieu thereof (*Effective from*

469 *passage*):

470 (f) No former public official or state employee (1) who participated  
 471 substantially in the negotiation or award of (A) a state contract valued  
 472 at an amount of fifty thousand dollars or more, or (B) a written  
 473 agreement for the approval of a payroll deduction slot described in  
 474 section 3-123g, or (2) who supervised the negotiation or award of such  
 475 a contract or agreement, shall accept employment with a party to the  
 476 contract or agreement other than the state for a period of [one year]  
 477 two years after his resignation from his state office or position if his  
 478 resignation occurs less than one year after the contract or agreement is  
 479 signed.

480 Sec. 7. Section 1-85 of the general statutes is repealed and the  
 481 following is substituted in lieu thereof (*Effective from passage*):

482 A public official, including an elected state official, or state  
 483 employee has an interest which is in substantial conflict with the  
 484 proper discharge of his duties or employment in the public interest  
 485 and of his responsibilities as prescribed in the laws of this state, if he  
 486 has reason to believe or expect that he, his spouse, a dependent child,  
 487 his or her other employer or a business with which he is associated  
 488 will derive a direct monetary gain or suffer a direct monetary loss, as  
 489 the case may be, by reason of his official activity. A public official,  
 490 including an elected state official, or state employee does not have an  
 491 interest which is in substantial conflict with the proper discharge of his  
 492 duties in the public interest and of his responsibilities as prescribed by  
 493 the laws of this state, if any benefit or detriment accrues to him, his  
 494 spouse, a dependent child, his or her other employer or a business  
 495 with which he, his spouse or such dependent child is associated as a  
 496 member of a profession, occupation or group to no greater extent than  
 497 any other member of such profession, occupation or group. A public  
 498 official, including an elected state official or state employee who has a  
 499 substantial conflict may not take official action on the matter.

500 Sec. 8. Subsection (a) of section 1-86 of the general statutes is



501 repealed and the following is substituted in lieu thereof (*Effective from*  
502 *passage*):

503 (a) Any public official or state employee, other than an elected state  
504 official, who, in the discharge of such official's or employee's official  
505 duties, would be required to take an action that would affect a  
506 financial interest of such official or employee, such official's or  
507 employee's spouse, parent, brother, sister, child or the spouse of a  
508 child, other employer or a business with which such official or  
509 employee is associated, other than an interest of a de minimis nature,  
510 an interest that is not distinct from that of a substantial segment of the  
511 general public or an interest in substantial conflict with the  
512 performance of official duties, as defined in section 1-85, as amended  
513 by this act, has a potential conflict of interest. Under such  
514 circumstances, such official or employee shall, if such official or  
515 employee is a member of a state regulatory agency, either excuse  
516 himself or herself from the matter or prepare a written statement  
517 signed under penalty of false statement describing the matter  
518 requiring action and the nature of the potential conflict and explaining  
519 why despite the potential conflict, such official or employee is able to  
520 vote and otherwise participate fairly, objectively and in the public  
521 interest. Such public official or state employee shall deliver a copy of  
522 the statement to the Office of State Ethics and enter a copy of the  
523 statement in the journal or minutes of the agency. If such official or  
524 employee is not a member of a state regulatory agency, such official or  
525 employee shall, in the case of either a substantial or potential conflict,  
526 prepare a written statement signed under penalty of false statement  
527 describing the matter requiring action and the nature of the conflict  
528 and deliver a copy of the statement to such official's or employee's  
529 immediate superior, if any, who shall assign the matter to another  
530 employee, or if such official or employee has no immediate superior,  
531 such official or employee shall take such steps as the Office of State  
532 Ethics shall prescribe or advise.

533 Sec. 9. Section 1-91 of the general statutes is repealed and the

534 following is substituted in lieu thereof (*Effective from passage*):

535 When used in this part, unless the context otherwise requires:

536 (a) "Administrative action" means any action or nonaction of any  
537 executive agency of the state with respect to the proposal, drafting,  
538 development, consideration, amendment, adoption or repeal of any  
539 rule, regulation or utility rate, and any action or nonaction of any  
540 executive agency or quasi-public agency, as defined in section 1-79, as  
541 amended by this act, regarding a contract, grant, award, purchasing  
542 agreement, loan, bond, certificate, license, permit or any other matter  
543 which is within the official jurisdiction or cognizance of such an  
544 agency.

545 (b) "Candidate for public office" means any person who has filed a  
546 declaration of candidacy or a petition to appear on the ballot for  
547 election as a public official, or who has raised or expended money in  
548 furtherance of such candidacy, or who has been nominated for  
549 appointment to serve as a public official; but shall not include a  
550 candidate for the office of senator or representative in Congress.

551 (c) "Board" means the Citizen's Ethics Advisory Board established  
552 under section 1-80.

553 (d) "Compensation" means any value received or to be received by a  
554 person acting as a lobbyist, whether in the form of a fee, salary or  
555 forbearance.

556 (e) "Executive agency" means a commission, board, agency, or other  
557 body or official in the executive branch of the state government and  
558 any independent body of the state government that is not a part of the  
559 legislative or judicial branch.

560 (f) "Expenditure" means any advance, conveyance, deposit,  
561 distribution, transfer of funds, loan, payment, unless expressly  
562 excluded; any payments for telephone, mailing, postage, printing and  
563 other clerical or office services and materials; any paid

564 communications, costing fifty dollars or more in any calendar year,  
565 disseminated by means of any printing, broadcasting or other  
566 medium, provided such communications refer to pending  
567 administrative or legislative action; any contract, agreement, promise  
568 or other obligation; any solicitation or solicitations, costing fifty dollars  
569 or more in the aggregate for any calendar year, of other persons to  
570 communicate with a public official or state employee for the purpose  
571 of influencing any legislative or administrative act and any pledge,  
572 subscription of money or anything of value. "Expenditure" shall not  
573 include the payment of a registrant's fee pursuant to section 1-95, any  
574 expenditure made by any club, committee, partnership, organization,  
575 business, union, association or corporation for the purpose of  
576 publishing a newsletter or other release to its members, shareholders  
577 or employees, or contributions, membership dues or other fees paid to  
578 associations, nonstock corporations or tax-exempt organizations under  
579 Section 501(c) of the Internal Revenue Code of 1986, or any subsequent  
580 corresponding internal revenue code of the United States, as from time  
581 to time amended.

582 (g) "Gift" means anything of value, which is directly and personally  
583 received, unless consideration of equal or greater value is given in  
584 return. "Gift" shall not include:

585 (1) A political contribution otherwise reported as required by law or  
586 a donation or payment described in subdivision (9) or (10) of  
587 subsection (b) of section 9-601a;

588 (2) Services provided by persons volunteering their time, if  
589 provided to aid or promote the success or defeat of any political party,  
590 any candidate or candidates for public office or the position of  
591 convention delegate or town committee member or any referendum  
592 question;

593 (3) A commercially reasonable loan made on terms not more  
594 favorable than loans made in the ordinary course of business;

595 (4) A gift received from (A) the individual's spouse, fiancé or  
596 fiancée, (B) the parent, brother or sister of such spouse or such  
597 individual, or (C) the child of such individual or the spouse of such  
598 child;

599 (5) Goods or services (A) which are provided to the state (i) for use  
600 on state property, or (ii) to support an event or the participation by a  
601 public official or state employee at an event, and (B) which facilitate  
602 state action or functions. As used in this subdivision, "state property"  
603 means (i) property owned by the state, or (ii) property leased to an  
604 agency in the Executive or Judicial Department of the state;

605 (6) A certificate, plaque or other ceremonial award costing less than  
606 one hundred dollars;

607 (7) A rebate, discount or promotional item available to the general  
608 public;

609 (8) Printed or recorded informational material germane to state  
610 action or functions;

611 (9) Food or beverage or both, costing less than fifty dollars in the  
612 aggregate per recipient in a calendar year, and consumed on an  
613 occasion or occasions at which the person paying, directly or  
614 indirectly, for the food or beverage, or his representative, is in  
615 attendance;

616 (10) Food or beverage or both, costing less than fifty dollars per  
617 person and consumed at a publicly noticed legislative reception to  
618 which all members of the General Assembly are invited and which is  
619 hosted not more than once in any calendar year by a lobbyist or  
620 business organization. For the purposes of such limit, (A) a reception  
621 hosted by a lobbyist who is an individual shall be deemed to have also  
622 been hosted by the business organization which he owns or is  
623 employed by, and (B) a reception hosted by a business organization  
624 shall be deemed to have also been hosted by all owners and employees

625 of the business organization who are lobbyists. In making the  
626 calculation for the purposes of such fifty-dollar limit, the donor shall  
627 divide the amount spent on food and beverage by the number of  
628 persons whom the donor reasonably expects to attend the reception;

629 (11) Food or beverage or both, costing less than fifty dollars per  
630 person and consumed at a publicly noticed reception to which all  
631 members of the General Assembly from a region of the state are  
632 invited and which is hosted not more than once in any calendar year  
633 by a lobbyist or business organization. For the purposes of such limit,  
634 (A) a reception hosted by a lobbyist who is an individual shall be  
635 deemed to have also been hosted by the business organization which  
636 he owns or is employed by, and (B) a reception hosted by a business  
637 organization shall be deemed to have also been hosted by all owners  
638 and employees of the business organization who are lobbyists. In  
639 making the calculation for the purposes of such fifty-dollar limit, the  
640 donor shall divide the amount spent on food and beverage by the  
641 number of persons whom the donor reasonably expects to attend the  
642 reception. As used in this subdivision, "region of the state" means the  
643 established geographic service area of the organization hosting the  
644 reception;

645 (12) A gift, including, but not limited to, food or beverage or both,  
646 provided by an individual for the celebration of a major life event;

647 (13) Gifts costing less than one hundred dollars in the aggregate or  
648 food or beverage provided at a hospitality suite at a meeting or  
649 conference of an interstate legislative association, by a person who is  
650 not a registrant or is not doing business with the state of Connecticut;

651 (14) Admission to a charitable or civic event, including food and  
652 beverage provided at such event, but excluding lodging or travel  
653 expenses, at which a public official or state employee participates in  
654 his official capacity, provided such admission is provided by the  
655 primary sponsoring entity;

656 (15) Anything of value provided by an employer of (A) a public  
657 official, (B) a state employee, or (C) a spouse of a public official or state  
658 employee, to such official, employee or spouse, provided such benefits  
659 are customarily and ordinarily provided to others in similar  
660 circumstances; or

661 (16) Anything having a value of not more than ten dollars, provided  
662 the aggregate value of all things provided by a donor to a recipient  
663 under this subdivision in any calendar year shall not exceed fifty  
664 dollars.

665 (h) "Immediate family" means [any] spouse, [dependent] children or  
666 dependent relatives, [who reside in the individual's household.]

667 (i) "Individual" means a natural person.

668 (j) "Legislative action" means introduction, sponsorship,  
669 consideration, debate, amendment, passage, defeat, approval, veto,  
670 overriding of a veto or any other official action or nonaction with  
671 regard to any bill, resolution, amendment, nomination, appointment,  
672 report, or any other matter pending or proposed in a committee or in  
673 either house of the legislature, or any matter which is within the  
674 official jurisdiction or cognizance of the legislature.

675 (k) "Lobbying" means communicating directly or soliciting others to  
676 communicate with any official or his staff in the legislative or executive  
677 branch of government or in a quasi-public agency, for the purpose of  
678 influencing any legislative or administrative action except that the  
679 term "lobbying" does not include (1) communications by or on behalf  
680 of a party to, or an intervenor in, a contested case, as described in  
681 regulations adopted by the commission in accordance with the  
682 provisions of chapter 54, before an executive agency or a quasi-public  
683 agency, as defined in section 1-79, as amended by this act, (2)  
684 communications by a representative of a vendor or by an employee of  
685 the registered client lobbyist which representative or employee acts as  
686 a salesperson and does not otherwise engage in lobbying regarding

687 any administrative action, (3) communications by an attorney made  
688 while engaging in the practice of law and regarding any matter other  
689 than legislative action as defined in subsection (j) of this section or the  
690 proposal, drafting, development, consideration, amendment, adoption  
691 or repeal of any rule or regulation, or (4) other communications  
692 exempted by regulations adopted by the [commission] Office of State  
693 Ethics in accordance with the provisions of chapter 54.

694 (l) "Lobbyist" means a person who in lobbying and in furtherance of  
695 lobbying makes or agrees to make expenditures, or receives or agrees  
696 to receive compensation, reimbursement, or both, and such  
697 compensation, reimbursement or expenditures are two thousand  
698 dollars or more in any calendar year or the combined amount thereof  
699 is two thousand dollars or more in any such calendar year. Lobbyist  
700 shall not include:

701 (1) A public official, employee of a branch of state government or a  
702 subdivision thereof, or elected or appointed official of a municipality  
703 or his designee other than an independent contractor, who is acting  
704 within the scope of his authority or employment;

705 (2) A publisher, owner or an employee of the press, radio or  
706 television while disseminating news or editorial comment to the  
707 general public in the ordinary course of business;

708 (3) An individual representing himself or another person before the  
709 legislature or a state agency other than for the purpose of influencing  
710 legislative or administrative action;

711 (4) Any individual or employee who receives no compensation or  
712 reimbursement specifically for lobbying and who limits his activities  
713 solely to formal appearances to give testimony before public sessions  
714 of committees of the General Assembly or public hearings of state  
715 agencies and who, if he testifies, registers his appearance in the records  
716 of such committees or agencies;

717 (5) A member of an advisory board acting within the scope of his  
718 appointment;

719 (6) A senator or representative in Congress acting within the scope  
720 of his office;

721 (7) Any person who receives no compensation or reimbursement  
722 specifically for lobbying and who spends no more than five hours in  
723 furtherance of lobbying unless such person (A) exclusive of salary,  
724 receives compensation or makes expenditures, or both, of two  
725 thousand dollars or more in any calendar year for lobbying or the  
726 combined amount thereof is two thousand dollars or more in any such  
727 calendar year, or (B) expends fifty dollars or more for the benefit of a  
728 public official in the legislative or executive branch, a member of his  
729 staff or immediate family;

730 (8) A communicator lobbyist who receives or agrees to receive  
731 compensation, reimbursement, or both, the aggregate amount of which  
732 is less than two thousand dollars from each client in any calendar year.

733 (m) "Member of an advisory board" means any person appointed by  
734 a public official as an advisor or consultant or member of a committee,  
735 commission or council established to advise, recommend or consult  
736 with a public official or branch of government or committee thereof  
737 and who receives no public funds other than per diem payments or  
738 reimbursement for his actual and necessary expenses incurred in the  
739 performance of his official duties and who has no authority to expend  
740 any public funds or to exercise the power of the state.

741 (n) "Person" means an individual, a business, corporation, limited  
742 liability company, union, association, firm, partnership, committee,  
743 club or other organization or group of persons.

744 (o) "Political contribution" has the same meaning as in section 9-601a  
745 except that for purposes of this part, the provisions of subsection (b) of  
746 that section shall not apply.



747 (p) "Public official" means any state-wide elected state officer, any  
748 member or member-elect of the General Assembly, any person  
749 appointed to any office of the legislative, judicial or executive branch  
750 of state government by the Governor, with or without the advice and  
751 consent of the General Assembly and any person appointed or elected  
752 by the General Assembly or any member of either house thereof; but  
753 shall not include a member of an advisory board or a senator or  
754 representative in Congress.

755 (q) "Registrant" means a person who is required to register pursuant  
756 to section 1-94.

757 (r) "Reimbursement" means any money or thing of value received or  
758 to be received in the form of payment for expenses as a lobbyist, not  
759 including compensation.

760 (s) "State employee" means any employee in the executive, judicial  
761 or legislative branch of state government, whether in the classified or  
762 unclassified service and whether full or part-time.

763 (t) "Business organization" means a sole proprietorship, corporation,  
764 limited liability company, association, firm or partnership, other than a  
765 client lobbyist, which is owned by, or employs one or more individual  
766 lobbyists.

767 (u) "Client lobbyist" means a lobbyist on behalf of whom lobbying  
768 takes place and who makes expenditures for lobbying and in  
769 furtherance of lobbying.

770 (v) "Communicator lobbyist" means a lobbyist who communicates  
771 directly or solicits others to communicate with an official or his staff in  
772 the legislative or executive branch of government or in a quasi-public  
773 agency for the purpose of influencing legislative or administrative  
774 action.

775 Sec. 10. Subsection (e) of section 1-92 of the general statutes is  
776 repealed and the following is substituted in lieu thereof (*Effective from*

777 passage):

778 (e) Upon the concurring vote of a majority of its members present  
 779 and voting, the board shall issue advisory opinions with regard to the  
 780 requirements of this [part] chapter, upon the request of any person,  
 781 subject to the provisions of this part, and publish such advisory  
 782 opinions in the Connecticut Law Journal. Advisory opinions rendered  
 783 by the board, until amended or revoked, shall be binding on the board  
 784 and shall be deemed to be final decisions of the board for purposes of  
 785 appeal to the superior court, in accordance with the provisions of  
 786 section 4-175 or 4-183. Any advisory opinion concerning any person  
 787 subject to the provisions of this part who requested the opinion and  
 788 who acted in reliance thereon, in good faith, shall be binding upon the  
 789 board, and it shall be an absolute defense in any criminal action  
 790 brought under the provisions of this part that the accused acted in  
 791 reliance upon such advisory opinion.

792 Sec. 11. Section 1-93 of the general statutes is repealed and the  
 793 following is substituted in lieu thereof (*Effective from passage*):

794 (a) (1) Upon [the complaint of any person on a form prescribed by  
 795 the Office of State Ethics, signed under penalty of false statement, or  
 796 upon] its own complaint, the ethics enforcement officer of the Office of  
 797 State Ethics shall investigate any alleged violation of this part. Not  
 798 later than five days after the receipt or issuance of such complaint, the  
 799 Office of State Ethics shall provide notice of such receipt or issuance  
 800 and a copy of the complaint by registered or certified mail to any  
 801 respondent against whom such complaint is filed. [and shall provide  
 802 notice of the receipt of such complaint to the complainant. When the  
 803 Office of State Ethics undertakes an evaluation of a possible violation  
 804 of this part prior to the filing of a complaint, the subject of the  
 805 evaluation shall be notified not later than five business days after a  
 806 staff member of the Office of State Ethics undertakes the first contact  
 807 with a third party concerning the matter.]

808 (2) In the conduct of its investigation of an alleged violation of this

809 part, the Office of State Ethics shall have the power to hold hearings,  
810 administer oaths, examine witnesses, receive oral and documentary  
811 evidence, subpoena witnesses under procedural rules adopted by the  
812 Citizen's Ethics Advisory Board as regulations in accordance with the  
813 provisions of chapter 54 to compel attendance before the Office of State  
814 Ethics and to require the production for examination by the ethics  
815 enforcement officer of the Office of State Ethics of any books and  
816 papers which the ethics enforcement officer of the Office of State Ethics  
817 deems relevant in any matter under investigation or in question. In the  
818 exercise of such powers, the Office of State Ethics may use the services  
819 of the state police, who shall provide the same upon the office's  
820 request. The Office of State Ethics shall make a record of all  
821 proceedings conducted pursuant to this subsection. Any witness  
822 summoned before the Office of State Ethics or a judge trial referee  
823 pursuant to this subsection shall receive the witness fee paid to  
824 witnesses in the courts of this state. The ethics enforcement officer of  
825 the Office of State Ethics may bring any alleged violation of this part  
826 before a judge trial referee assigned by the Chief Court Administrator  
827 for such purpose for a probable cause hearing. Such judge trial referee  
828 shall be compensated in accordance with the provisions of section 52-  
829 434 from such funds as may be available to the Office of State Ethics.  
830 The respondent shall have the right to appear at any hearing held  
831 pursuant to this subsection and be heard and to offer any information  
832 which may tend to clear the respondent of probable cause to believe  
833 the respondent has violated any provision of this part. The respondent  
834 shall also have the right to be represented by legal counsel and to  
835 examine and cross-examine witnesses. Not later than ten days prior to  
836 the commencement of any hearing conducted pursuant to this  
837 subsection, the Office of State Ethics shall provide the respondent with  
838 a list of its intended witnesses. Any finding of probable cause to  
839 believe the respondent is in violation of any provision of this part shall  
840 be made by a judge trial referee not later than thirty days after the  
841 ethics enforcement officer brings such alleged violation before such  
842 judge trail referee, except that such thirty-day limitation period shall

843 not apply if the judge trial referee determines that good cause exists for  
844 extending such limitation period.

845 (b) If a judge trial referee indicates that probable cause exists for the  
846 violation of a provision of this part, the board shall initiate hearings to  
847 determine whether there has been a violation of this part. Any such  
848 hearing shall be initiated by the board not later than thirty days after  
849 the finding of probable cause by a judge trial referee and shall be  
850 concluded not later than ninety days after its initiation, except that  
851 such thirty-day or ninety-day limitation period shall not apply if the  
852 judge trial referee determines that good cause exists for extending such  
853 limitation period. A judge trial referee, who has not taken part in the  
854 probable cause determination on the matter shall be assigned by the  
855 Chief Court Administrator and shall be compensated in accordance  
856 with section 52-434 out of funds available to the board and shall  
857 preside over such hearing and rule on all issues concerning the  
858 application of the rules of evidence, which shall be the same as in  
859 judicial proceedings. The trial referee shall have no vote in any  
860 decision of the board. All hearings of the board held pursuant to this  
861 subsection shall be open. At such hearing the board shall have the  
862 same powers as the Office of State Ethics under subsection (a) of this  
863 section and the respondent shall have the right to be represented by  
864 legal counsel, the right to compel attendance of witnesses and the  
865 production of books, documents, records and papers and to examine  
866 and cross-examine witnesses. Not later than ten days prior to the  
867 commencement of any hearing conducted pursuant to this subsection,  
868 the Office of State Ethics shall provide the respondent with a list of its  
869 intended witnesses. The judge trial referee shall, while engaged in the  
870 discharge of the duties as provided in this subsection, have the same  
871 authority as is provided in section 51-35 over witnesses who refuse to  
872 obey a subpoena or to testify with respect to any matter upon which  
873 such witness may be lawfully interrogated, and may commit any such  
874 witness for contempt for a period no longer than thirty days. The  
875 Office of State Ethics shall make a record of all proceedings pursuant  
876 to this subsection. The board shall find no person in violation of any

877 provision of this part except upon the concurring vote of [two-thirds]  
878 three of its members present and voting. Not later than fifteen days  
879 after the public hearing conducted in accordance with this subsection,  
880 the board shall publish its finding and a memorandum of the reasons  
881 therefor. Such finding and memorandum shall be deemed to be the  
882 final decision of the board on the matter for the purposes of chapter 54.  
883 The respondent, if aggrieved by the finding and memorandum, may  
884 appeal therefrom to the Superior Court in accordance with the  
885 provisions of section 4-183.

886 [(c) If any complaint brought under the provisions of this part is  
887 made with the knowledge that it is made without foundation in fact,  
888 the respondent shall have a cause of action against the complainant for  
889 double the amount of damage caused thereby and if the respondent  
890 prevails in such action, the respondent may be awarded by the court  
891 the costs of such action together with reasonable attorneys' fees.]

892 [(d)] (c) No complaint may be made under this section except within  
893 five years next after the violation alleged in the complaint has been  
894 committed.

895 [(e)] (d) No person shall take or threaten to take official action  
896 against an individual for such individual's disclosure of information to  
897 the board or the general counsel, ethics enforcement officer or staff of  
898 the Office of State Ethics under the provisions of this part. After receipt  
899 of information from an individual under the provisions of this part, the  
900 Office of State Ethics shall not disclose the identity of such individual  
901 without such person's consent unless the Office of State Ethics  
902 determines that such disclosure is unavoidable during the course of an  
903 investigation.

904 Sec. 12. Subsection (b) of section 1-96 of the general statutes is  
905 repealed and the following is substituted in lieu thereof (*Effective from*  
906 *passage*):

907 (b) Each individual communicator lobbyist registrant and each

908 business organization communicator lobbyist registrant shall file with  
 909 the Office of State Ethics between the first and tenth day of January a  
 910 report or reports, signed under penalty of false statement, reporting  
 911 the amounts of compensation and reimbursement received from each  
 912 of his clients during the previous year. In addition, each individual  
 913 communicator lobbyist registrant and each business organization  
 914 communicator lobbyist registrant shall: (1) Report the fundamental  
 915 terms of contracts, agreements or promises to pay or receive  
 916 compensation or reimbursement or to make expenditures in  
 917 furtherance of lobbying, including the categories of work to be  
 918 performed and the dollar value or compensation rate of the contract, at  
 919 the time of registration; (2) report, in accordance with the schedule set  
 920 forth in subsection (a) of this section, any amendments to these  
 921 fundamental terms, including any agreements to subcontract lobbying  
 922 work; and (3) report, in accordance with the provisions of subsection  
 923 (a) of this section, any expenditures for the benefit of a public official  
 924 or state employee in the legislative or executive branch or a member of  
 925 the staff or immediate family of such official which are unreimbursed  
 926 and required to be itemized. Such report shall include any donations  
 927 or payments that a registrant knew or should have known were paid  
 928 to a business associated with a public official in the legislative or  
 929 executive branch or that employs a public official in the legislative or  
 930 executive branch, or a member of the staff or immediate family of such  
 931 public official. Such report shall not include the disclosure of food and  
 932 beverage provided by a communicator lobbyist registrant to a public  
 933 official in the legislative or executive branch or a member of his staff or  
 934 immediate family at a major life event, as defined by the Citizen's  
 935 Ethics Advisory Board, of the registrant. All such information shall be  
 936 reported under penalty of false statement.

937 Sec. 13. Subsection (a) of section 1-96a of the general statutes is  
 938 repealed and the following is substituted in lieu thereof (*Effective from*  
 939 *passage*):

940 (a) Each registrant shall obtain and preserve all accounts, bills,

941 receipts and other documents necessary to substantiate the financial  
 942 reports required by section 1-96 for a period of [~~three~~] five years from  
 943 the date of the filing of the report referring to such financial matters,  
 944 provided this section shall apply to each expenditure for the benefit of  
 945 a public official of ten dollars or more and all other expenditures of  
 946 fifty dollars or more.

This act shall take effect as follows and shall amend the following sections:		
Section 1	<i>from passage</i>	1-79(f)
Sec. 2	<i>from passage</i>	1-81(a)
Sec. 3	<i>from passage</i>	1-82
Sec. 4	<i>from passage</i>	1-83(b) and (c)
Sec. 5	<i>from passage</i>	1-84
Sec. 6	<i>from passage</i>	1-84b(f)
Sec. 7	<i>from passage</i>	1-85
Sec. 8	<i>from passage</i>	1-86(a)
Sec. 9	<i>from passage</i>	1-91
Sec. 10	<i>from passage</i>	1-92(e)
Sec. 11	<i>from passage</i>	1-93
Sec. 12	<i>from passage</i>	1-96(b)
Sec. 13	<i>from passage</i>	1-96a(a)

***Statement of Purpose:***

To make certain substantive changes and technical corrections to the state code of ethics.

*[Proposed deletions are enclosed in brackets. Proposed additions are indicated by underline, except that when the entire text of a bill or resolution or a section of a bill or resolution is new, it is not underlined.]*